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Signed: *Peter K. Trzyzna*  
Peter K. Trzyzna (Reg. No. 32,601)

Date 23 Nov 1998

PATENT

Paper No. 1

File No. NewMrktP98-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventors

Anthony F. Herbst and Wayne F. Perg

Serial No.

Filed

November 23, 1998

For

DIGITAL COMPUTER SYSTEM AND METHODS  
FOR MANAGING AN AUCTION MARKET FOR  
PREFERRED-RETURN SECURITIES

Group Art Unit

Examiner

The Commissioner of Patents and Trademarks  
Washington, D.C. 20231

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 C.F.R. §§ 1.9(f) and 1.27(c)) -  
SMALL BUSINESS CONCERN

SIR:

We hereby declare that we respectively are each an official of the  
respective small business concerns empowered to act on behalf of the respective  
concerns identified as New Market Solutions LLC, an Arizona corporation, having an  
address at 1225 E. Medlock Drive #15A, Phoenix, AZ 85014.

We further respectively declare that New Market Solutions LLC is a small  
business concern that qualifies as a small business concern as defined in 37 C.F.R. §§  
1.9(c) and 121.12 for purposes of paying reduced fees under Sections 41(a) and (b) of  
Title 35, United States Code, to the Patent and Trademark Office with regard to the  
invention described in the above-identified patent application being filed herewith, in that  
the number of employees of the concern, including those of its affiliates, does not  
exceed 500 persons. For purposes of the Declaration Claiming Small Entity Status, (1)  
the number of employees of the business concern is the average over the previous  
fiscal year of the concern of the persons employed on a full-time, part-time or temporary  
basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of



each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party (or parties) controls or has the power to control both.

We further respectively declare that rights under contract or law for the above-identified invention and patent application have been conveyed to, and remain with, the small business concerns identified above. These rights are exclusive and no rights to the invention are held by any person, other than the inventors, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

We each acknowledge the duty to file in this application notification of any change in status resulting in loss of entitlement to small entity prior to paying, or at the time of paying, the earliest of the issue fee after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b)).

We each hereby declare that all statements made herein on knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Date: Nov. 21, 1998

Wayne R. Parg

Principal  
Title

New Market Solutions LLC  
Small Business Concern



Nov-23-98 10:00A Peter K. Trzyna, Esq.

(312) 240-0825

P. 51

Date: Nov-23 1998

Anthony F. Herbst  
Anthony F. Herbst

Principal  
Title

New Market Solutions, LLC  
Small Business Concern

Nov 23, 98 10:00 No. 001 P. 02

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Anthony F. Herbst